



Special Attention of:

Transmittal for Handbook No: 2225.6 REV-1
CHG -70

Headquarters Records Management Liaison Officers
Field Office Records Management Liaison Officers

Issued: April 4, 2007

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1. This transmits change 70 of Handbook 2225.6, REV-1, HUD Records Disposition Schedules, Schedule 69, Community Planning and Development Grant Records.

2. **Summary:**

Item 6. Acquisition and Relocation files is being added to Schedule 69, Community Planning and Development Grant Records. These Descriptions of Records and Disposition Instructions were approved by the National Archives and Records Administration on March 13, 2007, NARA Job Number N1-207-07-1.

3. **Filing Instructions:**

Remove:

Appendix 69, CHG- 14
pages 1-7
dated 10/95

Appendix 69, CHG-50
pages 8 through 9-1
dated 7/02

Appendix 69, CHG-14
pages 9-2 through 14
dated 10/95

Appendix 69, CHG-35
page 15
dated 5/97

Insert:

Appendix 69, CHG-70
page 1
dated 4/07

Appendix 69, CHG-14
pages 2-4
dated 10/95

Appendix 69, CHG-70
pages 5 through 9-2
dated 4/07

Appendix 69, CHG-14
pages 9-3 through 14
dated 10/95

Appendix 69, CHG-35
page 15
dated 5/97

RECORDS DISPOSITION SCHEDULE 69

COMMUNITY PLANNING AND DEVELOPMENT RECORDS

A. **Active Program:** This schedule provides disposition instructions for Headquarters and Field records relating to the following active Community Planning and Development (CPD) programs:

Affordable Housing -

Comprehensive Housing Affordability Strategy (CHAS)

Home Disaster Assistance

Home Investment Partnerships

HOPE for Homeownership of Single Family Homes (HOPE 3)

Acquisition and Relocation

Community Development Block Grants (CDBG) –

Disaster Assistance

Entitlement Communities Program

Nonentitlement Program:

Insular Areas

Small Cities

States

Section 108 Loan Guarantee Program

Economic Development –

Empowerment Zones/Enterprise Communities

Youthbuild

Environment and Energy –

District Heating/Cooling Grants

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John Heins Neighborhood Development Program (NDP)

Minority Business Enterprise (SNAP) -

General Technical Assistance/Management Improvement
Grants

Minority Business Enterprise (MBE) Agreements

Minority Business Enterprise (MBE) Performance

Special Needs Assistance Program (SNAP) -

Emergency Shelter Grant (Formula)

Emergency Shelter Indian Tribe Competition

Housing Opportunities for Persons with AIDS Program (HOPWA):

Competitive

Formula

HUD-Owned Single Family Property Disposition Initiative

Section 8 Moderate Rehabilitation Single Room Occupancy
(SRO)

Shelter Plus Care (S+C) Program

Supportive Housing Program, Including:

Permanent Housing for Handicapped Homeless

Renewal of Supportive housing Grants

Transitional Housing for the Homeless

Surplus Property for Use to Assist the Homeless Program
(Title V)

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Special Purpose Grants-

Community Adjustment Planning Grants

Community Outreach Partnerships

Historic Black Colleges and Universities (HBCU)

Joint Community Development Program

National Cities - In Schools Program

National Community Development Initiative

Technical Assistance Program

Work Study Program

B. Inactive Programs: This schedule also covers records generated as a result of the following earlier categorical and other HUD grant programs:

Community Development Block Grants (CDBG)

Secretary's Discretionary Fund (Special Project Grants)

Comprehensive Homeless Assistance Plan (CHAP)

Comprehensive Planning Assistance (Section 701) Program

Energy Innovative Grants

Neighborhood Facilities

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Open Space Land Program, including:

Historic Preservation

Urban Beautification

Supplemental Assistance for Facilities to Assist the Homeless (SAFA)

Urban Development Action Grants (UDAG)

Urban Homesteading

Urban Renewal

C. Programs Covered by Other HUD Schedules: Records of the following earlier categorical and other HUD grant programs are covered by other HUD records disposition schedules:

For this program

Use this
HUD Sched-
ule...

New Communities Records	60
Public Facilities Loan	16
Revolving Fund (Liquidating Program)	16
Section 312 Rental Rehabilitation Loans Grants	66
Solar Energy and Energy Conservation Bank	30
Title IX--Urban Information and Technical Assistance Grants	55

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Item No.	Description of Records	Disposition
1.	General Subject Correspondence files. Consist of official record copies (Forms HUD-713 or equivalent) of outgoing correspondence, original incoming correspondence, and related documents.	Temporary. Cut off at end of calendar or fiscal year, as appropriate. Retire to records center one year after cutoff. Destroy three years after cutoff. (NARA Job No. N1-207-04-3, item 6)
2.	Chronological files.	Temporary. Cut off at end of calendar or fiscal year, as appropriate. Retire to records center one year after cutoff. Destroy three years after cutoff. (NARA Job No. N1-207-04-3, item 6)
3.	Reference copies of legal opinions, policy and procedural issuances, interpretations, informational releases and publications, and any related published materials maintained in Community Planning and Development (CPD) offices.	Temporary. Destroy when superseded or obsolete, or when no longer needed for reference. Do not retire to Federal Records Center. (NARA Job No. N1-207-79-6, item 4)
4.	Official CPD grant records kept in Headquarters and Field Offices. a. Disapproved and withdrawn applications and proposals on which no contract was executed.	Temporary. Cut off at end of calendar year in which final announcements of selections are made for competitive programs or after decisions are made not to fund potential mandatory program recipients,

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Item No.	Description of Records	Disposition
		as appropriate. Retire to record center one year after cutoff. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, item 3(c))
b.	Canceled, suspended, or terminated project on which a contract was executed.	Temporary. Cut off at end of calendar year or fiscal year in which the agreement is closed out. Retire to record center sufficient time after cutoff to meet program business needs. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, item 3(a))
c.	Headquarters and/or Field Office approved grantee application, review, approval, and performance files.	
	(1) Formula entitlement grants maintained on a program year basis.	Temporary. Cut off at end of calendar year or fiscal year in which the agreement is closed out. Retire to record center sufficient time after cutoff to meet program business needs. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, item 3(a))

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COMMUNITY PLANNING AND DEVELOPMENT

Item No.	Description of Records	Disposition
	(2) All other grants. Includes discretionary or Competitive grants.	Temporary. Cut off at end of calendar year or fiscal year in which the agreement is closed out. Retire to record center sufficient time after cutoff to meet program business needs. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, item 3(a))
d.	Program and technical review and processing copies of grantee application packages, and all related work papers that typically accumulate at each step in the review process, but that do not constitute the official file containing the record copies of all approval actions.	
	(1) Related to applications for discretionary or competitive grants.	Temporary. Cut off at end of calendar year or fiscal year in which selection and renewal processes is concluded as appropriate. Retire two years after cutoff. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, item 2(a))
	(2) Related to applications for formula entitlement grants (noncompetitive grants).	Temporary. Cut off at end of calendar year, program year or fiscal year in which program allocations are made and awarded, as appropriate. Retire two years after cutoff. (NARA Job No. N1-207-04-3, item 2(b))

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Item No.	Description of Records	Disposition
	<p>e. Economic Development Initiative Grants (EDI). Case files for competitive grants supporting Section 108 funded projects and grants earmarked by Congress for specific projects that encourage the creation of affordable housing, home-ownership, building renovations, historic preservation and restoration, land acquisition, educational centers, and other diverse areas relating to EDI. Record materials include applications, correspondence, budgets, ratings, progress reports, deliverables, and other related materials. Files are arranged according to an alpha-numerical scheme identifying these case files as EDI and the fiscal year. Dates: 1998 to Present. Estimated annual accumulation of closed files: 15 cubic feet.</p>	
	<p>(1) Record Copy.</p>	<p>Temporary. Cut off at end of calendar year or fiscal year in which the agreement is closed out. Retire to record center sufficient time after cutoff to meet program business needs. Destroy six years after cutoff. (NARA Job No. N1-207-04-3, item 3(a))</p>

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Item No.	Description of Records	Disposition
	(2) All other copies.	Temporary. Cut off at end of calendar year in which the agreement is closed out. Destroy six years after cutoff or when no longer needed for reference, whichever is sooner. (NARA Job No. N1-207-04-3, item 4)
f.	Final grant reports of the comprehensive Planning Assistance (Section 701) Program.	
	(1) Record set of final grant reports, dated 1951-1981, kept in HUD Headquarters Library.	PERMANENT. Cut off at end of calendar year in which HUD receives and accepts deliverables and place in an inactive file. Transfer oldest five-year block of inactive files to the National Archives every six years. (NARA Job No. N1-207-04-3, item 3(d))
	(2) Final grant reports automated index-printed version.	PERMANENT. Cut off at end of calendar year in which HUD receives and accepts deliverables and place in an inactive file. Transfer oldest five-year block of inactive files to the National Archives every six years. (NARA Job No. N1-207-04-3, item 3(d))

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Item No.	Description of Records	Disposition
5.	Financial accounting files relating to CPD grant programs and maintained By the Headquarters Office of Finance and Accounting and/or by the Regional Accounting Division.	
a.	Accountable Officers' files.	Use General Records Schedule 6, item 1a.
b.	Memoranda or extra copies of accountable officers' returns.	Use General Records Schedule 6, item 1b.
6.	Case files on appeals and civil cases filed under the URA or HCD Act. Records documenting appeals and Civil cases filed under the uniform Relocation Assistance and Real Property Acquisition Act of 1970, as amended (URA) or section 104(d) of the Housing and Community Development Act of 1974 as amended (HCD Act). Includes appeal requests, HUD determinations, documentation of any possible financial relief notifications of rights, litigation files and related documentation.	
(a)	Appeals	Temporary. After HUD's decision on appeal, retire 1 year after resolution or final payment (if any) or anytime thereafter volume warrants. Destroy 6 years after HUD's Decision on appeal. (NARA Job No. N1-207-07-1, item 6 (a))

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Item No.	Description of Records	Disposition
(b)	Civil Cases	Temporary. Retire 1 year after court ruling, settlement, and/or all payments are made (if required), or anytime thereafter volume warrants. Destroy 6 years after court ruling. (NARA Job No. N1-207-07-1, item 6 (b))
7.	Electronic Copies. Electronic version of records created by electronic mail and/or word processing applications for the series contained in this schedule (Economic Development Initiative Targeted Grant records).	
a.	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories.	Temporary. Delete within 180 days after the recordkeeping copy has been produced. (NARA Job No. N1-207-02-2, item 6a.)
b.	Copies used for dissemination, revision, or updating is complete.	Temporary. Delete when dissemination, revision, or updating is complete. (NARA Job No. N1-207-02-2, item 6b.)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
8.	Community Planning and Development automated systems and the related documentation required to service them.	
a.	Newly established CPD automated systems not covered in this Records Disposition Schedule.	Prepare Standard Form 115, Request for Records Disposition Authority, to cover new automated system. Submit through CPD's Data Systems and Statistics Division to the Departmental Records Management Officer. Attach a copy of the layout and the glossary of terms/general purpose format. (NARA Job NC1 207-79-6, item 8a)
b.	The following automated system is "permanent."	
(1)	Rehabilitation Loans and Grants System (R84).	
(a)	System documentation, including a copy of the record layout and glossary terms.	Permanent. Transfer a copy to the National Archives, together with a copy of the current master file. (NARA Job NC1-207-79-6, item 8b(1)(a)).

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(b)	System documentation maintained by HUD, including all technical documents identified in HUD's ADP Documentation Standards Manual.	Destroy 3 years after system is eliminated from inventory of active systems. (NARA Job NC1-207-79-6, item 8b(1)(b))
(c)	Input Documents. Copies of forms and reports intended to serve solely as inputs to the system.	Destroy after data has been entered into the system and verified. (NARA Job NC1-207-79-6, item 8b(1)(c))
(d)	Input Documents. Documents that are part of official record files covered elsewhere in this schedule.	Destroy in accordance with relevant instructions in this schedule. (NARA job NC1-207-79-6, item covered 8b(1)(d))
(e)	Processing Files. Initial, Intermediate or Valid Transaction Data.	Scratch after third update cycle. (NARA Job NC1-207-79-6, item 8b(1)(e))
(f)	Processing Files. Publication and Print Files.	Apply provisions of General Records Schedule (GRS) 20, items 20 and 21.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(g) Master Files. Copy of current master file.	Transfer a copy of the current master to the National Archives immedi- ately and future updates on an annual basis. (NARA Job NC1-207-79-6, item 8b(1)(g))
	(h) Master files retained in HUD tape library.	Scratch after third update cycle. Destroy final ver- sion of master 3 years after system is eliminated from inventory of active systems. (NARA Job NC1- 207-79-6, item 8b(1)(h))
	(i) Printouts and other output reports.	Destroy when superseded, obsolete, or no longer needed for administrative or reference purposes. (NARA Job NC1-207-79-6, item 8b(1)(i))

C. COMMUNITY PLANNING AND DEVELOPMENT GRANT RECORDS

The following Automated
Systems are "Disposable."

- (1) Community Development
Block Grant (CDBG)
Discretionary Balance
Study System, 1975 (C29).
- (2) CDBG Discretionary
Balance Study System,
1976 (C30).

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(3)	CDBG Discretionary Grants System (C20).	
(4)	CDBG Entitlement Determination System (D98).	
(5)	CDBG Funding Survey System (C15).	
(6)	CDBG Grantee Performance System (C21).	
(7)	CDBG Management System (C11).	
(8)	CDBG Program Evaluation System (C16).	
(9)	Comprehensive Planning Assistance Data System (CPADS) (C23).	
(10)	Comprehensive Planning Fund Allocation System (C10).	
(11)	Land Acquisition/ Relocation System (LARS) (C12).	
(12)	CDBG Entitlement Determination System (C13).	

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(13)	CDBG Housing Assistance Plan System (HAPS-1976) (C25).	
(14)	Rehabilitation Section 312 Returned Loan Analysis System (C31).	
(15)	CDBG Discretionary Applications Analysis System.	
(16)	CDBG Discretionary Balance Study System, 1977 (C32).	
(17)	CDBG Entitlement Applications Analysis System.	
(18)	Community Planning and Development (CPD) Programs Fund Assignment System (C27).	
(19)	CPD Workload Indicators System (C22).	
(20)	Comprehensive Planning Assistance Directory System (C17).	

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(21)	Open Space System.	
(22)	Urban Development Action Grant (UDAG) Data Analysis System.	
(23)	Water and Sewer Directory System.	
Disposition instructions for these systems are:		
(a)	System documentation maintained by HUD, including all technical documents identified in HUD's ADP Documentation Standards Manual.	Retire to Federal Records Center 1 year after system is eliminated from inventory of active systems, or any time after such event that volume warrants. Destroy 3 years after system is eliminated from inventory of active systems. (NARA Job NC1-207-79-6, item 8c(a)).
(b)	Input Documents Copies of forms and reports intended to serve solely as inputs to the system.	Destroy after data has been entered into system and verified. (NARA Job NC1-2077-79-6, item 8c(b))

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(c)	Input Documents. Documents that are part of official record files covered elsewhere in this schedule.	Destroy in accordance with relevant instructions in this schedule. (NARA Job NC1-207-79-6, item 8c(c))
(d)	Processing Files.	Scratch after third update cycle. (NARA Job NC1-207-79-6, item 8c(d))
(e)	Master File. Operational processing mode.	Scratch after third update cycle. (NARA Job NC1-207-79-6, item 8c(e))
(f)	Master File. System eliminated from HUD's inventory of active systems.	Retire to Federal Records Center with system documentation. Destroy 3 years after system's elimination from inventory of active systems. (NARA Job NC1-207-79-6, item 8c(f))
(g)	Printouts and output reports.	Destroy when superseded or obsolete, or no longer needed for administrative or reference purposes. (NARA Job 207-79-6, item 8c(g))

9. RESERVED.